UNITED
NATIONS

A

General Assembly

Distr.
GENERAL

A/AC.237/63/Add.1
10 August 1994

Original: ENGLISH

INTERGOVERNMENTAL NEGOTIATING COMMITTEE
FOR A FRAMEWORK CONVENTION ON CLIMATE CHANGE
Tenth session
Geneva, 22 August - 2 September 1994
Item 3 (a) of the provisional agenda

MATTERS RELATING TO COMMITMENTS

FIRST REVIEW OF INFORMATION COMMUNICATED BY ANNEX I PARTIES TO THE CONVENTION

Addendum

REPORT ON THE INITIATIVE UNDERTAKEN BY THE COUNTRIES AND AN ORGANIZATION INCLUDED IN ANNEX I TO THE CONVENTION ON THE PROCESS FOR THE FIRST REVIEW OF COMMUNICATIONS FROM ANNEX I PARTIES

Note by the interim secretariat

1. The countries and the organization included in Annex I to the Convention have undertaken a project relating to national communications. Canada, on behalf of the above-mentioned countries and organization, submitted a report to the ninth session of the Committee on possible elements of guidelines for the preparation of first communications from Annex I Parties (A/AC.237/45/Add.1). At that session, the Committee noted the intention to continue the "valuable work", especially with regard to the review process and assistance to countries with economies in transition (see A/AC.237/55, annex I, decision 9/2, para. 1).

2. Canada, again on behalf of the countries and the organization concerned, has submitted to the interim secretariat the report attached to this note. The report, which is reproduced as submitted, presents a proposal for the review process for consideration by the Committee. The proposal represents a consensus among experts from twenty-nine countries and the organization included in Annex I.

GE.94-63616

INDIANA UNIVERSITY

THE FIRST REVIEW OF COMMUNICATIONS FROM ANNEX I PARTIES

PROPOSAL FROM AN INFORMAL GROUP OF EXPERTS FROM ANNEX I COUNTRIES[1]

First communications from 18 Annex I Parties are due by September 21, 1994. So that these communications can be reviewed by the "proxy" Subsidiary Bodies at INC-XI, a decision will have to be taken at INC-X on the form and content of the review process.

In light of this, experts from 30 Annex I countries met informally in Paris (22-24 June) to discuss options for the first review of communications from Annex I Parties. At this meeting, a consensus was reached among the experts on a proposal for the review process. This report presents the proposal for consideration by the Committee during its discussions at INC-X on the first review of communications from Annex I Parties.

PURPOSE OF THE REVIEW

1. The first review of communications from Annex I Parties should serve three major purposes.

   (a) The review should provide the Conference of the Parties with information to assist it in carrying out its responsibilities under Articles 4 and 7 of the FCCC. These responsibilities include:

   - assessing the implementation of the Convention;
   - assessing the overall effects of measures taken and the extent to which progress towards the objective of the Convention is being achieved;
   - taking decisions in response to the assessment of the adequacy of commitments;
   - examining obligations of the Parties and institutional arrangements under the Convention; and
   - promoting and guiding the development and refinement of methodologies.

   (b) The review should provide a thorough and comprehensive technical assessment of the implementation of FCCC commitments by individual Annex I Parties and Annex I Parties as a whole.

   (c) The review should serve as an educational tool that will allow Parties to learn from each other through the exchange of information and experience with respect to implementation of the FCCC.

---

[1] The term "Annex I countries" should be taken in this document to include regional economic integration organisations included in Annex I.

2. As agreed at INC-VIII, the review should be facilitative, non-confrontational, open and transparent. It should provide Parties with an opportunity to learn from the advice and experience of other Parties. The review is not meant to formally or legally assess compliance by Annex I Parties with the terms of the FCCC.

TASKS OF THE REVIEW

3. The review process should undertake five major tasks. These are:

- reviewing key quantitative data points contained in national communications,
- reviewing policies and measures described in national communications,
- assessing the information contained in national communications against FCCC commitments,
- describing expected progress in the mitigation of greenhouse gas emissions and the enhancement of greenhouse gas sinks on the basis of information contained in national communications, and
- aggregating data across national communications with respect to inventories, projections, effects of measures and financial transfers.

4. Annex A provides a more detailed explanation of how these tasks could be completed. Tables that could be used to illustrate the results obtained upon completion of these tasks are presented in Annex B. Annex C contains tools that can be used to facilitate the completion of some of the tasks of the review process.

PREPARATION FOR THE REVIEW

5. The FCCC interim secretariat would be requested to undertake the preparatory work required to successfully complete the review. This preparatory work should begin in late September 1994 with a view to completion in 6-8 weeks.

6. Preparatory work would involve performing, in a quick and preliminary way, the tasks of the review outlined in paragraph 3 and described in detail in Annex A. The FCCC interim secretariat would then produce a set of background materials that would present the findings of this work and would facilitate: (a) completion of a synthesis report, and (b) commencement of in-depth reviews of individual national communications.

7. The FCCC interim secretariat would be requested to seek the assistance of approximately 10 people to help quickly complete the work outlined in paragraph 6. These individuals would include secondments from Annex I governments, non-Annex I governments, and international organisations. Parties would be free to nominate potential participants to the FCCC interim secretariat. Consultants could also be hired. In selecting these individuals, the FCCC interim secretariat would be requested to ensure geographic balance and a balance of skills and expertise.

8. The FCCC interim secretariat would require resources to finance the participation of representatives of non-Annex II governments and to engage consultants in the preparatory work for the review.

SYNTHESIS REPORT FOR THE FIRST CONFERENCE OF THE PARTIES

9. The FCCC interim secretariat would be requested to prepare and distribute an initial report synthesizing the information contained in all national communications to all Parties and observers to the INC before INC-XI.

10. The initial synthesis report should provide an overview and summary of the material contained in all national communications. Information provided by national communications received after September 21, 1994 could still be included in the initial synthesis report if received before October 14, 1994. The report should be clear and concise and should not duplicate other documents being prepared for INC-XI and COP-1. The FCCC interim secretariat should consider including the elements listed in Annex D in the synthesis report.

11. In order to provide an effective overview of the material contained in the national communications, information on national activities should be highlighted in tables and in the narrative text. In the spirit of non-confrontational reviews, individual countries would not be singled out in the text.

12. The initial synthesis report should be discussed at INC-XI.

13. Conclusions from the discussion at INC-XI would then be forwarded to COP-1 for consideration and discussion.

14. Further synthesis reports should be prepared for COP-2 and, if necessary later COPs, to take account of first communications received too late for consideration in the initial synthesis report.

IN-DEPTH REVIEW OF INDIVIDUAL NATIONAL COMMUNICATIONS

15. Each national communication submitted by an Annex I Party should be subject to an in-depth review as soon as possible but within one year of receipt by the FCCC interim secretariat.

16. The FCCC interim secretariat would be requested to begin work on the in-depth review of individual national communications before COP-1.

17. The in-depth review of individual national communications would serve the following purposes:

- provide information that will enhance the quality of future synthesis reports, and
- serve as an educational tool through which Parties can share information and experience related to implementation of commitments under the FCCC.

18. The FCCC interim secretariat would be requested to coordinate and facilitate the process for in-depth reviews. It would organise the in-depth review of individual national communications by review teams, under the authority of the Subsidiary Bodies.

19. The review teams would be composed of representatives of both Annex I and non-Annex I Parties. These national experts would constitute a majority on each team. The teams could also include experts from international organisations and consultants. One member of the FCCC interim secretariat would participate in, and coordinate, each review team.

20. Every Party to the Convention would be invited to provide the FCCC interim secretariat with nominations for expert participants in the review teams. The FCCC interim secretariat would be requested to choose participants for the review teams from the names provided, ensuring geographic balance and a balance of skills and expertise among team members. It would also seek the cooperation of relevant international organisations.

21. Sufficient resources in the form of contributions to the trust fund would be required to carry out the review process. These resources could cover the costs of the secretariat, consultants, participation of representatives of non-Annex II governments and international organisations, as well as other associated costs.

22. Following discussion of the review of national communications, the INC concluded at its eighth session that visits to clarify country reports with prior approval of the country concerned might be useful. Taking account of this conclusion, the review teams would conduct their work through in-depth 'paper' reviews, and country visits where deemed helpful and mutually agreed. The optimum combination should be determined by the second meeting of the COP after the first reviews have been completed.

23. Each review team would produce a report on each in-depth review of an individual national communication that would be submitted to the Subsidiary Bodies. This review report would be the responsibility of the team members, acting under the authority of the Subsidiary Bodies.

24. A possible outline for the review report that would be produced from the in-depth review of individual national communications is provided in Annex E. On average, it is expected that these reports would be approximately 10 pages in length.

25. The draft review report, written in non-confrontational language, would be provided to the Party being reviewed for comment. As a general rule, the review report would be revised to reflect the Party's comments. In those instances, however, where the Party and the review team were unable to reach agreement on the approach to use for dealing with a

comment, the FCCC interim secretariat would ensure that the comments of the Party would be incorporated within a separate section of the summary of the review report.

26. The FCCC interim secretariat would be requested to distribute the summary of each final review report to all Parties and observers to the INC/COP. Copies of full review reports would be available on request.

27. Reports on the in-depth review of individual national communications would be reviewed by the Subsidiary Bodies only when formally requested by a Party to do so.

28. The FCCC interim secretariat would be requested to examine other means to facilitate the exchange and sharing of information among Parties, including fora where a general and further analysis of specific and common aspects of national communications could be undertaken.

ANNEX A - CARRYING OUT THE TASKS OF THE REVIEW

The tasks outlined below shall apply to the in-depth review of individual national communications and the preparation of the synthesis report, as appropriate.

REVIEWING KEY QUANTITATIVE DATA POINTS

Under the Guidelines for the preparation of national communications adopted at INC-IX, national communication "should" contain a number of key quantitative data points with respect to inventories, projections, estimates of the effects of measures and financial transfers. These key quantitative data points should be reviewed to identify any anomalies or errors in the data set. When national communications contain quantitative data points that are "encouraged" by the Guidelines or "may" be submitted, these data points should also be reviewed.

Key Quantitative Data Points that "Should" be in National Communications	
Inventories	• 1990[2] emissions estimates of CO_2, CH_4 and N_2O, and removals of CO_2 (by major source/sink category) • emission factors • activity data and other assumptions
Projections	• projections (with effects of measures) for emissions of CO_2, CH_4 and N_2O, and removals of CO_2, in the year 2000 • key assumptions (1990 and 2000 values) - e.g., world oil price, GDP level and growth rate, population level and growth rate, annual rate of autonomous energy efficiency improvement etc.
Effects of Measures	• estimate of the total effect of policies and measures on emissions of CO_2, CH_4, and N_2O, and removals of CO_2, in the year 2000 (to the extent possible) • estimate of the effect of individual policies and measures on emissions of CO_2, CH_4, and N_2O, and removals of CO_2, in the year 2000 (wherever possible) • key assumptions (1990 and 2000 values) - measure-specific assumptions in addition to those listed above
Financial Transfers[3]	• contributions to the financial mechanism (2 phases) • financial resources provided through bilateral, regional and other multilateral channels for mitigation • financial resources provided through bilateral, regional and other multilateral channels for adaptation

[2] Countries with economies in transition can request flexibility in this area subject to approval by the Conference of the Parties.

[3] Only Annex II Parties are requested to provide this information.

Possible tasks for the review of key data points are outlined in the box below.

Inventories

With respect to greenhouse gas inventories, key quantitative data points should be reviewed in a manner consistent with the verification procedures outlined in the IPCC Inventory Reporting Guidelines. These procedures include:

- assessing the completeness of the estimate for each gas;
- checking for arithmetic errors;
- understanding differences between the method used to estimate the main sources and sinks of each gas and the IPCC default method;
- comparing estimates among countries through use of a single set of source and sink categories;
- checking country estimates and activity data against internationally available data, with agreement of the country being reviewed; and
- comparing emission/sinks factors and activity data among countries with similar emission characteristics, where possible.

Projections/Estimates of Effects of Measures

With respect to projections and estimates of the effects of measures, key quantitative data points should be reviewed through:

- comparing key assumptions across countries with similar characteristics, if possible (e.g., similar demographic patterns or similar economic profiles),
- comparing key assumptions with independently published information (domestic and international), and
- considering the transparency and robustness of the model/approach used to develop the projection or estimate the effect of measures.

Financial Assistance and Technology Transfer

Key quantitative data presented with respect to financial assistance should be reviewed through comparison with independently published sources of information.

The review of key data points in all areas could be completed more efficiently if summary tables were used to provide an overview of the key quantitative data contained in all national communications. By placing key data points within the context of the information presented in other national communications, these tables would facilitate the identification of anomalies or errors. Some examples of these tables are provided in Annex B.

A preliminary list of independently published information that might be used in the review of key quantitative data points is included in Annex C.

Any anomalous data points identified by the review would be brought to the attention of the Annex I Party that had submitted the national communication. The Party would then be provided with an opportunity to discuss the data point with the reviewers and could work with them, if necessary, to attempt to correct the data point or explain the data point and its underlying uncertainties.

REVIEWING POLICIES AND MEASURES

The review should provide information on the policy approaches and measures described in the national communications. Policies and measures should be grouped in terms of the gases and sectors covered, and policy instruments used. Policies and measures should also be examined in relation to their estimated effects and the uncertainties associated with those estimates. This review should report and highlight the main focal points of the measures and policy approach. Tables that provide an overview of this information with respect to a national communication are presented in Annex B.

ASSESSING INFORMATION PROVIDED AGAINST FCCC COMMITMENTS

The Guidelines for the preparation of national communications agreed to at INC-IX set out how Annex I Parties should report on actions taken to implement their commitments under the FCCC (INC/FCCC/1994/1,25 March 1994). Accordingly, the review should assess national communications against a checklist of the information requested by these Guidelines.

An indicative checklist, referencing all information that the Guidelines indicate "should" be included, or that Parties are "encouraged" to include, in their national communications is provided in Annex C. Because the Guidelines do not overlap precisely with the commitments outlined in the FCCC in all areas, the checklist also references the articles of the FCCC containing or describing commitments.

Once a national communication had been assessed against the checklist, the results would be forwarded to the Party concerned. The Party would then be provided with an opportunity to discuss the findings of the assessment with the reviewers and, if necessary: (a) provide the information requested by the Guidelines that was not included in the national communication, or (b) provide an explanation for the absence of this information in the national communication.

DESCRIBING PROGRESS IN THE MITIGATION OF GREENHOUSE GAS EMISSIONS AND THE ENHANCEMENT OF GREENHOUSE GAS SINKS

The Guidelines for the preparation of national communications agreed to at INC-IX request that all Annex I Parties "should" provide similar data with respect to inventories, projections and estimates of the effects of measures.

These data include information on national removals by sinks in 1990 as well as national emissions of CO_2, CH_4 and N_2O in that year.[4] In addition, national communications should provide the projected values of these removals and emissions in the year 2000, as well as the estimated effect of measures on emissions of each of these gases and removals of CO_2 in the year 2000. Parties are also "encouraged" in the Guidelines to provide information on other greenhouse gases.

Accordingly, the review would report the expected progress in greenhouse gas mitigation described in each national communication by calculating and reporting the expected percentage and absolute changes in emissions of CO_2, CH_4 and N_2O, as well as the removal of CO_2 by sinks, between 1990 and 2000. A table illustrating how this information could be presented can be found in Annex B. When the information is available, this calculation could also be made with respect to other greenhouse gases. Additional tables could also be developed to integrate this information through the use of GWPs.

If data on domestic targets and their achievement are presented in the national communication, the review should report on expectations about changes in emission and removal levels, relative to domestic targets.

AGGREGATION ACROSS NATIONAL COMMUNICATIONS[5]

Inventories

If all national communications follow the IPCC Reporting Guidelines for inventories, aggregation of inventory data will be a simple task of adding together the data presented in different national communications. Inventory data may require reorganisation to follow a common structure for presentation. This will involve some interaction with Parties that have submitted national communications to obtain clarification on presentation issues. To the extent that complete inventories are provided, aggregation of inventory data can then proceed through a simple adding up.

Projections and Estimates of the Effects of Measures

Due to a number of data and methodological constraints, the FCCC interim secretariat should not aggregate projections and estimates of the effects of measures across national communications in the synthesis report to be prepared for COP-1. Instead, these projections and estimates of the effects of measures should simply be listed together in a single table.

---

[4] The Guidelines for the preparation of national communications recognise that countries with economies in transition may make a request to the COP to use a year other than 1990 as their base year for inventories.

[5] Tables illustrating how aggregate information could be presented in all of these areas can be found in Annex B.

Presenting information with respect to projections and estimates of the effects of measures in a standard format makes it tempting to aggregate these numbers by simply adding them together. This temptation should be resisted. Each of the Parties is likely to use a model or approach to making these calculations that reflects their own unique economic structures. Moreover, Parties have made different assumptions about important factors like oil prices, economic growth rates and inflation.

The FCCC interim secretariat should note in the synthesis report to be prepared for COP-1 that aggregating information developed through different methodological approaches is misleading and unscientific. It should be noted that there is no technically accurate way to aggregate this information across national communications in the short time-frame available before COP-1.

Financial Transfers

If all national communications follow the Guidelines for the preparation of national communications, aggregation will simply involve adding together the financial transfers provided by Annex II Parties in four categories: (a) contribution to the financial mechanism in Phase I (1991-94), (b) contribution to the financial mechanism in Phase II (1994-97), (c) other funds for mitigation, and (d) other funds for adaptation.

Data may require reorganisation to follow a common structure for data presentation. This will involve some interaction with Parties that have submitted national communications to obtain clarification on presentation issues. Aggregation can then proceed through a simple adding up.

ANNEX B - SAMPLE TABLES RELATED TO REVIEW OF NATIONAL COMMUNICATIONS

Inventories

Sample table: **CO_2 Emissions – comparison by major source category**

CO_2 Emissions by Major Source Categories (% and absolute estimates (Gg))										
	Year	Energy			Industrial Processes	Agri-culture	Land Use Change and Forestry	Waste	Other	Total
		Fuel Combustion[6]		Fugitive Emissions						
		IPCC	Nat'l							
Country										
Country										
Total										

Note: This Table could be expanded further to break down emissions associated with energy combustion into different categories. Similar Tables would need to be developed for energy and non-energy emissions of other greenhouse gases as well as CO2 removals.

Sample table: **Comparison of inventory emission estimates by energy sectors**

CO_2 Emissions by Major Source Categories Fuel Combustion by Sector (% of Total)					
	Power and heat production	Industry	Residential/ Commercial	Transport	Other
Country					
Country					
Country					

Note: Similar Tables would need to be developed for other fuels and emission sources and sinks.

Sample table: **Comparison of emission factors among countries**

Emission Factors - Coal and Coal Products (kg C/GJ)						
	Anthracite	Steam Coal	Coking Coal	Sub-Bit. Coal	Lignite	Peat
IPCC Default						
Country						
Country						

Note: Similar Tables would need to be developed for other fuels and emission sources and sinks.

---

[6] This is to summarise own national estimates and the comparable result obtained using the IPCC reference method. Countries have been advised to report both estimates and to explain the differences.

Sample table: **Comparison of assumptions or outcomes (inventories or projections) with independently published information**

Comparison of Key Assumptions or Outcomes with Authoritative International Sources					
CO_2 Emissions from Energy Combustion (Gg)					
	Year	Variable*	Authoritative International Source	Difference in %	Comments
Country					
Country					
Country					

Note: Similar tables would need to be developed for other emission sources and sinks. (* Several different assumptions or outcomes could be compared in this way. The table is intended to be illustrative only).

Projections

Sample table: **Inter-country comparisons, key exogenous assumptions (energy examples)**

Projections - Key Quantitative Assumptions (Exogenous)				
	World Oil Price (2000)	Annual GDP Growth 1990/2000	Annual Population Growth Rate 1990/2000	Average New Vehicle Fuel Economy - Passenger Car
	(US$/bbl)	(%)	(%)	(litres/100 km)
Country				
Country				

Sample table: **Inter-country comparisons, key endogenous assumptions (energy example)**

Projections - Key Quantitative Assumptions (Endogenous)			
	World Oil Price (2000)	GDP Annual Growth Rate 1990-2000	Primary Energy Demand - Annual Growth Rate 1990-2000
	(US$/bbl)	(%)	(%)
Country			
Country			

Note: The exogenous and endogenous assumptions in the above tables are illustrative. A range of variables might be compared but the comparison will be limited to what countries choose to report in their national communications. An illustrative list of key assumptions and outputs that might be reported is found in the Guidelines (p.12).

Sample table: **Comparison and listing of emission projections**

Projections of Emissions						
	CO_2 Emissions					
	1990 (or other base year)	2000	% Change (2000 relative to 1990)	Absolute Change (2000 relative to 1990)	Effects of Measures	Uncertainty Ranges for Projections and Estimates of the Effects of Measures
	Gg	Gg	%	Gg	Gg	
Country						
Country						

Note: This table would be expanded to list the same information with respect to CO_2 removals and for other GHG where information is available. It would also be possible to use this approach to compare projections using GWPs to integrate GHG projections into a carbon-equivalent set of figures.

Financial Transfers (Annex II Parties only)

Financial Transfers (US$)					
	Through Financial Mechanism		Through Other Channels		Total
	First Phase (1991-1994)	Second Phase (1994-1997)	Mitigation	Adaptation	
Country					
Country					
Total					

Policies and measures

Policies and Measures by Type of Instrument and Sector							
Gas	Sector	Economic Instruments	Regulation	Information / Education	Government Action	Voluntary Actions	Research and Development
CO_2	Energy and Transformation Industries						
	Transport						
	Industry (energy related)						
	Industry (non-energy related)						
	Residential						
	Commercial						
	Agriculture						
	Land Use Change/ Forestry						
	Cross-Sectoral						

Note: A descriptive name for each policy would be listed in the table. The table would have to be expanded to reflect policies addressing other greenhouse gases.

ANNEX C - TOOLS TO ASSIST WITH THE REVIEW PROCESS

Assessment of Implementation of FCCC Commitments

The information described summarises specific references to the FCCC that should be considered in doing this assessment, as well as information that countries agreed to provide when adopting the *Guidelines for the Preparation of First National Communications* (referred to as the Guidelines). The indicative list below is designed to allow a yes or no answer; in some cases it requires a ranking[7] or additional information.[8]

Inventories

Relevant commitments are in Articles 4.1.a and 4.2.c of the FCCC. In addition, the Guidelines suggest that the following information should be provided:

- inventory data for the year 1990
- inventory data for any other base year (as requested under Article 4.6)
- data on emissions of CO_2
- data on emissions of CH_4
- data on emissions of N_2O
- data on removals of CO_2
- data on emissions of CO *
- data on emissions of NOx *
- data on emissions of NMVOC *
- data on emissions of other GHG (eg PFCs, HFCs, SF_6), specifically: *

  (cite which gases are reported here)

- data presented in IPCC recommended standard tables and formats (rank from 1 - 3 for level of documentation)
- full documentation to explain methodologies that are not IPCC default methodologies (rank from 1 - 3 for level of documentation)
- explanation of gaps in a transparent manner (rank from 1 - 3 for level of documentation)

---

[7] It is suggested that some items on this indicative list be ranked on a scale from 1 to 3 where:

- 1 = Fully meets the requirements of the Guidelines
- 2 = Generally meets the requirements of the Guidelines
- 3 = Generally does not meet the requirements of the Guidelines

[8] Most items in the checklist refer to information that the Guidelines indicate "should" be included in national communications. Those items referring to the provision of information that is only "encouraged" by the Guidelines are marked with an asterisk.

- data on bunker emissions in a separate category
- information on historical trends (e.g. 1970-1990), specifically: *

(cite which years are reported here)

Policies and measures

Relevant commitments are summarised in Articles 4.1(b),(d) and 4.2(a),(b), and (e) of the FCCC. In addition, the Guidelines suggest that the following information should be provided:

- information on domestic targets
- an overall policy context
- descriptions of all policies and measures adopted since the base year that make a significant contribution to reducing greenhouse gas emissions
- measures by gas
- measures by sector

Information for measures on: (rank from 1 - 3 for level of documentation)

- gases targeted
- sectors targeted
- status of implementation
- policy instrument used
- interaction with other measures
- description of functioning
- intermediate indicators of progress
- how effects will be monitored

Projections and assessments of effects of measures

Relevant commitments are in Articles 4.2(b) and 12.2(b) of the FCCC. In addition, the Guidelines suggest that the following information should be provided:

- projections that incorporate the effects of measures
- CO_2 emissions in 2000
- CH_4 emissions in 2000
- N_2O emissions in 2000
- CO_2 removals in 2000
- projections of GHG other than CO_2, CH_4, and N_2O, specifically: *

(cite which gases are reported here)

- estimate of total effect of measures on CO_2 emissions in 2000
- estimate of total effect of measures on CH_4 emissions in 2000
- estimate of total effect of measures on N_2O emissions in 2000
- estimate of total effect of measures on CO_2 removals in 2000

- specific estimates of effects for individual measures (rank from 1 - 3 for level of documentation)

- enough information to understand models/approaches used
- summary of strengths and weaknesses of models/approaches used
- how models/approaches account for overlap/synergies among measures

- key assumptions provided - values in 1990, specifically: (cite which variables were provided and whether endogenous or exogenous)

- key assumptions - values in 2000, specifically: (cite which variables were provided and whether endogenous or exogenous)

- "without measures" scenario/projection *
- projection data for one or more years prior to 2000 *
- projections beyond 2000 (e.g. 2005 and/or 2010) *
- findings of sensitivity analyses (how results affected by changes in key assumptions) *

Vulnerability assessment and adaptation measures

Relevant commitments are in Articles 4.1(e) of the FCCC. In addition, the Guidelines suggest that the following information should be provided:

- expected socio-economic or ecological impacts of climate change on the country
- measures addressing adaptation responses to climate change

Financial assistance and technology transfer (for Annex II Parties only)

Relevant commitments are summarised in Articles 4.2(c), 4.3, 4.4, 4.9 and 12.7 of the FCCC. In addition, the Guidelines suggest that the following information should be provided:

- transfers of new and additional financial resources to assist developing country Parties with preparing national communications
- transfers of new and additional financial resources to assist developing country Parties in implementing their Convention commitments
- actions to assist developing country Parties in preparing for and meeting the costs of adaptation

- actions to transfer technologies to developing country Parties
- amount of contribution to the financial mechanism (1991-1994)
- amount of contribution to the financial mechanism (1994-1997)
- amount of financial resources provided through bilateral, regional and other multilateral channels for mitigation
- amount of financial resources provided through bilateral, regional and other multilateral channels for adaptation
- amount of financial resources provided through bilateral, regional and other multilateral channels for other purposes
- actions to support capacity building in developing countries

Research and systematic observation

Relevant commitments are in Article 5 of the FCCC. In addition, the Guidelines suggest that the following information should be provided:

- actions relating to research and systematic observation
- actions to support capacity building in developing countries

Education, training and public awareness

Relevant commitments are in Articles 4.1(i) and 6 of the FCCC. In addition, the Guidelines suggest that the following information should be provided:

- actions on education, training and public awareness

Special considerations

Relevant commitments are in Article 4.6 and 4.10 of the FCCC. In addition, the Guidelines suggest that the following information should be provided:

- a clear statement of any special consideration sought and an adequate explanation of national circumstances

Other

Relevant commitments are in Articles 4.2(b) and 12.2(b) of the FCCC. In addition, the Guidelines suggest that the following information should be provided:

- qualitative or quantitative discussions of uncertainty in data and underlying assumptions
- 1992 IPCC data on direct effects over a 100 year time horizon (if GWPs used)

Independently Published Data that Could Be Used to Help Review Key Data Points[9]

Inventories

CORINAIR

Eurostat Energy Statistics

Food and Agriculture Organisation of the United Nations

- Production Yearbook (numbers of livestock)
- Fertiliser Yearbook (fertiliser sales)
- Forest Resources in the Tropical World (forest areas)

International Energy Agency

- Electricity, Coal and Oil Statistics (energy)
- Energy Balances and Energy Statistics in OECD Countries (energy)
- Energy Statistics and Balances of Non-OECD Countries (energy)

Organisation for Economic Cooperation and Development

- Economic Statistics
- Environmental Data Compendium (national emissions data)

United Nations

- Energy Statistics Yearbook (energy)

U.S. Bureau of Mines

- Cement Minerals Yearbook (cement)

World Resources Institute

Worldwatch Institute

---

[9] This Table does not provide a complete listing of relevant independently published data. It is only meant to be illustrative.

Projections

European Commission

- Energy in Europe

International Energy Agency

- Energy Policies of IEA Countries
- Climate Change Policy Initiatives
- World Energy Outlook

Organization for Economic Cooperation and Development

- Main Economic Indicators

World Energy Council

- World Energy Outlook Scenario

Financial Transfers

Various Global Environment Facility Publications

Organisation for Economic Cooperation and Development

- reports produced by the Development Assistance Committee

Various United Nations Development Program Publications

Various World Bank Publications

ANNEX D - POSSIBLE ELEMENTS FOR INCLUSION IN THE INITIAL SYNTHESIS REPORT

- a summary of the main points of the report
- list of countries that have ratified the FCCC
- discussion of the importance of national circumstances
- aggregate greenhouse gas emissions and removals by gas and by sector
- identification of areas where further inventory development is needed with respect to methodological problems
- overview of approaches taken to mitigate greenhouse gas emissions and enhance greenhouse gas sinks by gas, sector and policy instrument
- examples of unique or innovative policy approaches and measures
- overview of measures under consideration or measures requiring international cooperation
- listing of projections (sources/sinks by gas) presented in all national communications
- listing of the effects of measures (sources/sinks by gas) presented in all national communications
- summary of approaches used to produce projections and estimate the effects of measures
- identification of areas where further methodological work is needed for projections and estimating effects of measures
- overview of adaptation measures, including international cooperation
- overview of the possible effects of climate change
- overview of financial assistance and technology transfer provided by Annex II Parties
- aggregation of financial assistance provided by reporting Annex II Parties
- overview of research and systematic observation programmes - domestic and international
- overview of programmes aimed at education, training and public awareness
- assessment of the implementation of FCCC commitments by reporting Annex I and Annex II Parties (through the tasks outlined in Annex A)
- recommendations for changes to the Guidelines for the preparation of national communications

ANNEX E - POSSIBLE OUTLINE FOR REVIEW REPORTS FROM IN-DEPTH REVIEWS OF INDIVIDUAL NATIONAL COMMUNICATIONS

I. Introduction and Summary

- FCCC ratification date
- date of receipt of national communication
- dates of review and dates of comment period
- members of the review team
- national circumstances
- summary and findings
    - * compliance with Guidelines
    - * review of key data points
    - * approach to mitigate greenhouse gas emissions
    - * expected progress in greenhouse gas mitigation
    - * implementation of FCCC commitments
    - * summary of comments offered by the country (when not reflected in the text)

II. Inventories

- implementation of FCCC commitments
- approaches used
- CO_2 emissions - review of key data points
- CO_2 removals - review of key data points
- CH_4 emissions - review of key data points
- N_2O emissions - review of key data points
- Other gases - review of key data points

III. Policies and measures

- implementation of FCCC commitments
- overview of measures by gas, sector and policy instrument
- effects of individual measures, where possible
- policies and measures under consideration

IV. Projections and effects of policies and measures

- implementation of FCCC commitments
- approaches used
- review of key data points

V. Projected progress in greenhouse gas mitigation

VI. Adaptation measures

- expected impacts of climate change
- implementation of FCCC commitments

VII. Financial assistance and technology transfer

- review of key data points
- implementation of FCCC commitments

VIII. Research and systematic observation

- implementation of FCCC commitments

IX. Education, training and public awareness

- implementation of FCCC commitments